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ENVIRONMENTAL RESEARCH RESEARCH AND TECHNOLOGY BRANCH • DIRECTION DE LA RECHERCHE ET DE LA TECHNOLOGIE LES RECHERCHES SUR L'ENVIRONNEMENT

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Application for Funding Assistance
Demande d'aide financière



Ontario

Environment
Environnement

Jim Bradley, Minister/ministre



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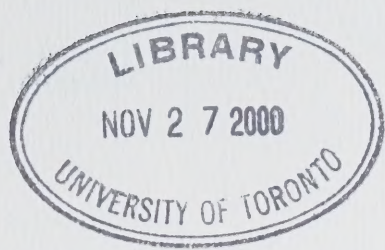
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of The Environment**

GENERAL APPLICATION GUIDELINES

BER 1991

NOVEMBER 1991

ENVIRONMENTAL RESEARCH GRANTS

GENERAL APPLICATION GUIDELINES

NOVEMBER 1991



SECTION A

GENERAL INFORMATION

Research and Technology Branch
135 St. Clair Avenue West
Toronto, Ontario
M4V 1P5
Tel (416) 323-4649

1. FOREWORD

This document outlines the procedures for submitting proposals for funding support in six areas of environmental research.

Information is provided about the application and review process for grant awards. While most details are provided in the document, applicants are encouraged to seek information on problems or unusual cases by contacting the Ministry.

2. DATES TO REMEMBER

JANUARY 15

Deadline for receipt of applications

April or May

Notification to applicant of decision

Due every six months

Project progress reports

Due at project completion

Final Project report

Presentation of a paper on all R.A.C. supported projects is required at the annual Technology Transfer conference held in late November or early December each year.

All applications and inquiries should be directed to:

3. DEFINITION OF RESEARCH AND GENERAL ELIGIBILITY GUIDELINES

The Ministry of the Environment's Environmental Research Program, administered by the Research and Technology Branch, supports research initiated by individual investigators or solicited by Ministry branches and regions in areas of interest to the Ministry. Research, for the purpose of this program, is defined as an investigative study undertaken on a systematic basis to increase the available store of scientific and technical knowledge, or to apply existing knowledge in new ways and to solve specific problems.

Routine monitoring programs, technical surveys and the implementation of abatement measures are, by definition, excluded from the research category.

Research proposals are funded through two mechanisms: (1) *unsolicited research*, where the annual publication "Research Needs" is provided to assist investigator-initiated proposals in six broadly defined areas of environmental research; and (2) *solicited research*, where the "Request For Proposals" (RFP) solicits proposals through a call for tenders in well-defined areas of particular interest to the Ministry.

All proposals received in response to either mechanism are subject to technical review, followed by Research Advisory Committee review and recommendation.

4. THE RESEARCH ADVISORY COMMITTEE

4.1 Description

The Research Advisory Committee (R.A.C.) of the Ministry of the Environment (MOE) is responsible for ensuring that research activities are consistent with Ministry policies, goals and objectives. The Committee makes recommendations on the suitability of research proposals submitted by external institutions such as universities, consultants and other research institutions and agencies, and also coordinates research conducted within the Ministry through its Branches, Regions, Boards and Advisory Committees.

4.2 Functions

The "Research Management Process" Guideline (April, 1987, Policy 16-08) defines the terms of reference for the R.A.C. as the following:

- to formulate and obtain approval for Ministry research planning and management policy;
- to develop and implement procedures for the management and evaluation of research activities;

- to define research needs, establish priorities and develop a research strategy, recommending the types of research to be undertaken by the appropriate Branches, Regions, Boards and Advisory Committees;
- to annually recommend levels of resources which the Ministry should devote to research activities;
- to make recommendations on the suitability of research proposals submitted by external institutions and agencies and by Ministry Branches, Regions, Boards and Advisory Committees;
- to develop procedures for the early dissemination of research findings and to foster their implementation;
- to ensure that research activities are consistent with Ministry policies, goals and objectives.

4.3 Organization and Administration

The R.A.C. comprises the Director of the Research and Technology Branch, who acts as the Chair, plus the Executive Director of Approvals and Engineering, ten Branch and Regional Directors, two coordinators for major Ministry programs, a senior representative from the Federal Government (Environment Canada) and the Chair of the Ontario Pesticides Advisory Committee. Technical Review is coordinated by six research coordinators representing the seven major areas of research funded. Projects are managed by Project Liaison Officers, who act as primary contact persons with the principal investigators.

These Liaison Officers are also responsible for ensuring that the various reporting, budgetary and other requirements of the grant award are met by the investigator.

4.4 Areas of Support

Consideration is given primarily to applied and developmental research directed to environmental protection and health-related research. The research program is divided into six broad areas:

- Water Quality
- Air Quality
- Liquid and Solid Waste
- Analytical Method Development
- Environmental Socio-Economics
- Multimedia Contaminants and Biotechnology Research
- Pesticides Research

A five-year projection of the research needs of the Ministry is contained in a volume entitled "Research Needs 1990-1995". It is updated each year and can be obtained from:

Research and Technology Branch
135 St. Clair Ave. West
Toronto, Ontario
M4V 1P5
Tel (416) 323-4649

Support is not provided for major equipment acquisitions, educational programs or the provision of services which should be otherwise financed.

4.5 Review Process

All proposals are reviewed on the basis of scientific merit, relevance to current Ministry research priorities and policy requirements, and available funding. Proposals that are not included in the identified research needs but are innovative may also be considered. Applications which are deemed eligible for support are referred to the appropriate research coordinator of the Ministry, and are subjected to extensive technical review by knowledgeable internal staff and by appropriate external reviewers generally from other government agencies. A meeting with the applicant or a site visit may be conducted when recommended by the reviewers.

When reviewing an application, the R.A.C. considers in detail the following:

- scientific and technical merit of the proposal and its research strategy;
- competence and previous performance of the investigator and the quality of the facilities;
- likelihood of the investigator achieving the objectives on time;
- cost relative to anticipated benefits;
- compatibility of the project with MOE research needs and priorities;
- potential for the implementation of the study results and any potential users.

Prior to the R.A.C. meeting, committee members review the application form summaries and research co-ordinators' recommendations. At the meeting, the proposals are discussed and debated on the basis of technical evaluations of the scientific merit and relevance to Ministry priorities. Decisions are reached by consensus. Applications reviewed favourably by the R.A.C. are recommended to senior management for final budgetary approval. In certain cases, final approval may be conditional on budgetary adjustments or on specific changes to the research protocol. Funding will not be recommended until all conditions and changes have been made or agreed to in writing. Written reviewers' comments will not normally be provided to applicants.

- project proposal (maximum 20 pages);
- resumés (maximum 3 pages each);
- recent publications (if applicable);
- appendices (maximum 30 pages in total).

One original and five copies of the completed application are required for each proposed project. Applications that are incomplete or illegible may be returned without review.

It should be noted that, to meet the needs of the various reviewers and the R.A.C., it is imperative that applicants provide concise, informative answers in all sections of the application form, and submit the required number of completed applications.

The time interval between closing dates for receipt of applications and meetings of the R.A.C. does not permit consideration of late or incomplete applications.

SECTION B

APPLICATION PROCEDURES

1. GENERAL

1.1 The Application

The application consists of the following components in the order listed:

- covering or transmittal letter;
- Application for Funding Assistance form;

1.2 Application for Funding Assistance Form

The intention of the application form is to summarize the full proposal and requested funding.

A detailed description of the components follows:

1.2.1 Principal Investigator and Affiliation

The person in charge of directing and carrying out the research project is the principal investigator.

It is this person who ensures that, once approved, the research is (a) carried out as specified in the research proposal; and (b) on schedule. It is also the principal investigator with whom the Research and Technology Branch and Liaison Officer correspond on any matters concerning the research project. The affiliation of the principal investigator is the name of the institution or company that employs the applicant.

1.2.2 Type of Funding Applied For

Preference may be given to proposals with total budgets not exceeding \$80,000.

1.2.3 Title of Proposed Research

The title should briefly reflect the proposed research.

1.2.4 Short Title

The short title should include key words specific to the research project and is used for administrative purposes.

1.2.5 Principal Investigator's Title and Address

This section should include an accurate and appropriate title and address for future correspondence and mailings.

1.2.6 Percentage of Principal Investigator's Time Allocated to the Project

This is the proportion of the individual Principal Investigator's total time that is spent on the project per year.

1.2.7 Co-investigators' Names and Affiliations

The names and affiliations of those persons associated with the project are necessary.

1.2.8 Budget

A detailed budget encompassing a complete account of projected purchases and staff needs anticipated for a Ministry funded project must be submitted with the application form. The budget breakdown and supporting information should be comprehensive enough to defend the budget with regard to the total project description.

The budget should be broken down on a year by year basis and should allow for inflation. With regard to salaries, an individual's time should be identified in work-years.

The R.A.C. may recommend the modification of the budget submitted in one or more of the following ways:

- disallowing certain unjustified expenditures;
- modifying the distribution of funds;

- limiting funds for certain categories; or
- increasing funding to allow for additional work.

If the recipient wishes to change funds from one budget category to another after an award has been made, the request must be made in writing to the Liaison Officer with a copy of the proposed revised budget included.

1.2.9 Budget by Year

- **Salaries and Benefits**

Salaries requested from MOE funding should include all fees and disbursements to any persons who will be appointed by the recipient to assist in carrying out the project. The recipient should not change principal professional staff, consultants, subcontractors or salary rates without the written consent of the Ministry. The Ministry is not liable for any costs in excess of the funding amount agreed upon. If the principal investigator(s) and other research staff associated with the project normally receive a salary on a continuing basis from a university or college, they are not to receive salary payments, stipends, supplements or fees for services from a grant. Also, grant salary payments to university post-doctoral fellows, graduate students, technicians or other assistants are not to exceed NSERC rates.

Individuals paid from MOE funds are not to be regarded as MOE employees. Employer contributions to superannuation, group insurance and other employee benefits normally available to the institution's employees may be paid by the institution on behalf of persons paid through MOE funding. The costs may then be charged to the appropriate research project.

- **Travel**

Any major travel expenses should be included in the budget, including travel to the Technology Transfer Conference to present project findings.

- **Supplies and Equipment**

Equipment and non-consumable supplies purchased under a grant for purposes of the research shall belong to the researcher's institution unless the notification of award requires that the equipment and supplies be disposed of differently, transferred to the Ministry or otherwise disposed of.

- **Services**

Services such as computer time should be budgeted as an anticipated expense.

Typing, photocopying and other office support activities are the responsibility of the funding recipient and should be included in the proposed budget.

- **Overhead**

Overhead (indirect) expenses will not be claimed on grant applications.

- **Other**

Any expenses not included in the other categories should be included in this part of the budget breakdown, and the nature of the expenses specified.

The proponent must ensure that any Ministry or external data, and/or time needed for the manipulation of data, are in fact in existence and accessible. Costs associated with the manipulation or retrieving of data should be included in the proposed project cost.

All costs associated with final and interim reports be included in the proposed budget.

1.2.10 Current or Previous Research Funding

Applicants must indicate whether funds for all or part of a proposal or a similar proposal have been, or are going to be, solicited for funding elsewhere. The following information should be included:

- the names of other agencies;
- the amount sought from each agency; and
- the amount received to date from each agency.

Should any funds be approved by another agency during the

submission or after approval of a project, recipients must inform the Ministry Liaison Officer in writing.

Joint funding of a project by the Ministry with other agencies is possible and is encouraged. It is in the interest of an applicant to determine if other agencies will cooperate in joint funding and notify the Ministry if such arrangements appear possible.

The Ministry may take action to arrange partnership funding of a proposal if such a step is considered expedient.

1.2.11 Approval Signatures

The approval signatures of various university research officials are necessary to the completion of the application form. In the case of a university, the signatures of the Dean, Head or Chairman; Financial Administrator, Director of Research Administration as well as the Principal Investigator are generally required on all copies of the form. Application forms will be returned to the applicant if the approval signatures are not completed.

By signing, the applicant and the institution representative signify both their assent to comply with the regulations and requirements of the Ministry, and their intent to provide adequate space, time and facilities to permit the intended research to be carried out.

1.2.12 Abstract

A brief description of the project should be included.

1.2.13 Objectives

Objectives should include the goals and rationale behind the project.

1.2.14 Milestone Definition and Schedule

This section should include a concise, point-form schedule of every predicted major step in the proposed research. If the project is approved, this summary will be used to measure the progress of the research.

1.2.15 Yearly Description of Study

A brief general description of the work to be completed and the results anticipated for each year should be included in this section.

1.2.16 Relevance and Potential for Application

- **What Will the Project Contribute to the Ministry of the Environment's Research Needs?**

The Ministry generally chooses research projects based on the scientific research priorities and needs outlined in the annual "Research Needs" document.

Other innovative proposals for work not included in the identified research needs will also be considered. This section should include either an indication of how the proposed research will contribute to the Ministry of the Environment's specified research needs or an indication of why the research need is justified in the case of a proposal which does not address a specified need.

- **Description of the Potential for Implementation of Results - Potential Users and the Timeframe for Application of Results by Users.**

The Ministry strongly encourages the implementation of research findings. The potential for result implementation of the proposed research should be included along with any potential users that may apply the results, and the timeframe involved to allow for application by these users.

- **Potential Marketability**

If applicable, any possible commercial benefits or export potential that might result from the research should be identified.

1.3 The Proposal

The detailed project proposal should include the following components to support the application form summary:

- **title** which briefly reflects the proposed research;

- **objectives** and the underlying hypotheses and rationale;
- **thorough literature review** to support the rationale and objectives;
- **research description** including its significance and relevance to environmental and health-related research;
- **research design** including a concise statement of the work program, a time-chart for major activities, methodologies, analysis of results, and criteria for evaluating outcome (details must be provided on the modelling/data manipulation aspects of the project, e.g. the use of available models, programming language rationalization and compatibility);
- **detailed budget** showing annual cash flow normally based on the government fiscal year from April 1 to March 31. The budget should also justify any major or unusual travel, split out salary for programming and computer time, and indicate equipment or supplies expenditures (inadequate explanations of items in the budget may result in arbitrary decisions on the level of funding);
- **benefits anticipated** on a cost-effectiveness basis if relevant and/or based on contributions to solutions of environmental protection problems in Ontario.

1.4 **Resumés, Publications, Appendices**

A résumé should be included for the principal investigator and any co-investigators or specialists employed on the project. Publications relevant to the proposed study should also be included.

Appendices totalling no more than 30 pages may be added to the application and should be distinct from the proposal itself. These may include supporting documents such as letters of support or commitments from cooperating investigators.

1.5 **Schedule**

1.5.1 **Closing Dates**

The closing date for the receipt of applications is January 15.

1.5.2 **Review Schedule**

Once received, applications are normally technically reviewed within six weeks of the closing date. Summaries of evaluations are due eight weeks after the closing date allowing approximately three weeks for review by R.A.C.

members. Committee meetings are generally scheduled three months after the closing date.

1.5.3 **Notification**

Notification of grant awards to university investigators stating the particulars of the

grant will be sent by the Minister to the designated official (the Dean or Director of Research) with a copy to the applicant. Unsuccessful applicants will be notified at the earliest possible time after their proposal has been rejected. In some cases, a proposal may be approved subject to conditions, or revised proposals or additional information may be requested. Occasionally, a proposal is deferred until the next R.A.C. meeting due to either unresolved concerns or the need for clarification or further review.

1.6 Confidentiality

Although it may not be possible to guarantee absolute confidentiality for the information provided in the application, every effort will be made to accommodate specific requests for confidential treatment if received at the time of submission.

2. GRANT APPLICATIONS

2.1 Eligibility

Applications for research grant awards may be received from the following sources:

- universities and colleges
- research foundations and institutes
- municipalities
- environmental interest groups
- other government agencies (transfer payments)

A project involving more than one of the above is acceptable providing that one institution or group assumes leadership, responsibility and accountability.

Proposals received from these sources are submitted as "unsolicited" (investigator-initiated) proposals. Proposals originating from Ministry branches or regions are classified as "solicited" proposals and, if approved-in-principle for funding, are awarded through a competitive tendering process and are generally funded by contract. The R.A.C. will consider out-of-province proposals which have significance for Ontario and are judged by the reviewers to be of high technical merit and relevance to Ministry research needs.

2.2 Definition of Environmental Research Grant

A research grant is a one time payment of funding to an eligible institution to perform investigations on the data and techniques necessary for the attainment and maintenance of an eminent standard of environmental quality in Ontario.

2.3 Overhead

Grant funds may not be used for overhead costs.

2.4 Use of Grant Funds

The use of funds for environmental research by the Ministry is intended to encourage investigations to maintain in the Province a high level of competence

in pollution abatement science and technology.

Research grants are intended primarily to cover operating expenses such as: the employment of assistants; supplies; computing services; field trips; and equipment. It is assumed that the basic facilities required to carry out the proposed work are already available to the applicant.

SECTION C REGULATIONS AND REQUIREMENTS

1. PERIOD OF SUPPORT

Normally the **maximum** duration of any research project is three years, although preference may be given to one year proposals. Only one application is necessary for a research project up to three years in duration. A project period may be extended by up to six months without additional funding if:

- a) requested in writing by the principal investigator and supported in writing by the Project Liaison Officer;
- b) requested before the end of the project year; and
- c) reasons for the extension required are documented.

Extension may not be granted if the above procedure is not followed.

2. PUBLICATIONS AND REPORTS

2.1 Interim Use of Data

The principal investigator is required to provide 30 days' advance notice in the form of pre-publication copies to the Ministry of any publications, research reports, presentations or other papers arising during the course of the project and within one year of its completion.

The purpose of this requirement is to ensure that the Ministry is prepared to respond to any issue that may arise as a result of the publication.

The principal investigator of a project funded by a grant will be the owner of any data collected during the course of this project. Any publications, research reports or other published papers shall acknowledge the Ontario Ministry of the Environment as a source of financial support, and unless otherwise agreed in writing, shall indicate that the results and conclusions are those of the authors and that no official endorsement by the Ministry is intended or should be inferred.

The principal investigator is required to prepare a final report (a detailed summary of the results and conclusions of the research, together with supporting data) at the completion of the project.

The Ministry reserves the right to make use of data, or publish in whole or in part any publications,

research reports or other papers arising out of this project. Every publication shall, with the investigator's approval, acknowledge the contribution of the principal investigator.

Where an application is being prepared or proposed to be prepared for a patent under the Patent Act of Canada or similar foreign legislation, neither party shall publish information which may adversely affect the obtaining of a patent in Canada or the United States of America without first consulting with the other.

The purpose of this provision is the protection of the anticipated patent.

2.2 Interim Reports

For one-year projects, a progress report is required after six months. For multi-year projects greater than \$50,000 in total cost, an interim report is required every six months; for smaller projects, an annual report will suffice. The interim report should include references to any publications ensuing from the research project. The interim report is reviewed by the appointed Liaison Officer to determine satisfactory progress and is then forwarded to the Research and Technology Branch.

The interim report is particularly important if the investigator expects further funding in the case of a multi-year project.

Additional funds normally will not be provided until the report is received.

2.3 Final Report

Ten copies of the final report (including a galley-proof) and a diskette in IBM-PC compatible format (write-protected) must be submitted within three months of the end of the final project year. Associated costs should be included in the proposed budget.

The final report should comprise a detailed summary of the results and conclusions found in the research project, together with supporting data. In all cases, a 250-300 word abstract is also required together with references to publications resulting from the MOE funded project.

The cover of the report will specify the R.A.C. project number and institution or agency, and may show the Project Liaison Officer's name.

After technical evaluation of the final report, the Liaison Officer will forward it for R.A.C. approval and Ministry publication. When changes to the report are necessary, the Liaison Officer will advise the author and coordinate the revision. Reports are then distributed within the Ministry and are released to the public. In some cases where the quality of the report or the results are judged to be of limited or preliminary value, the R.A.C. may recommend limited or internal distribution.

2.4 Technology Transfer Conference Presentation

The funding recipient must be prepared to make a presentation each project year at the Ministry's annual Technology Transfer Conference in the form of either a verbal presentation of a paper, or a poster presentation.

2.5 Outside Publications

The Ministry does not provide funds for publication in peer-reviewed journals but does encourage funding recipients to publish project results in appropriate journals both before and after project completion. Before publication, the Principal Investigator is required to provide three pre-publication copies to the Liaison Officer of any publications, research reports, presentations or other papers arising during or within one year of the project completion.

The purpose of this requirement is to ensure that the Ministry is prepared for any issues that may arise as a result of the publication.

2.6 Acknowledgement and Disclaimer

The final report prepared by the grantee should bear the legend:

"Queen's Printer for Ontario, 19__.
This publication may be reproduced for non-commercial purposes with appropriate attribution."

If outside publication is undertaken of any publications, research reports or other published papers, acknowledgement of MOE funding must be given and a disclaimer must be inserted. The acknowledgement and disclaimer should follow the format below.

"Acknowledgment and Disclaimer"

"This report was prepared for the Ontario Ministry of the Environment as part of a Ministry funded project. The views and ideas expressed in this report are those of the author and do not necessarily reflect the views and policies of the Ministry of the Environment, nor does mention of trade names or commercial products constitute endorsement or recommendation for use.

The Ministry however, encourages the distribution of information and strongly supports technology transfer and diffusion. Any person who wishes to republish part or all of this report should apply for permission to do so to the Research and Technology Branch, 135 St. Clair Avenue West, Toronto, Ontario, Canada, M4V 1P5."

3. OWNERSHIP RIGHTS

3.1 Ownership of Equipment

For grants, unless otherwise stipulated in the notification of award, all equipment purchased for a research project becomes the property of the grantee.

An example of a case where this would not apply is where the researcher has undertaken to develop the equipment for use by the Ministry.

3.2 Copyright

If a paper is published on MOE sponsored research, the author is required to acknowledge MOE financial assistance. Databases or data sets ensuing in whole or in part from MOE sponsored research grants similarly belong to the principal investigator and/or the recipient institution (depending on the established regulations in effect at the recipient institution).

The Ministry nonetheless supports the sharing of data with others interested in facilitating and improving research on environmental issues.

3.3 Patent Rights

"Patent Rights" include any patentable or secret formulae, patents, inventions, discoveries and improvements, whether patented or not, and any industrial design of other industrial property. The word "patent" includes patents, additions to, amendments to, copyrights, and registrations of industrial designs or other industrial property.

For grants, the Ministry does not generally claim Patent Rights.

An exception would occur for example in the case of a joint endeavour, where the Patent Right shall be jointly owned by the Ministry and the institution to which the grant is made, or other person designated by the institution, and title to all patents issued shall be joint.

4. GENERAL REGULATIONS

4.1 Amendments

The investigator is expected to advise the Ministry through the Project Liaison Officer of any anticipated major alteration in the research proposal. While funds are intended to be used as described in an approved funding arrangement, the R.A.C. recognizes that some measure of flexibility is essential. Requests for amendments to the budget should be made in writing to the Liaison Officer. The Liaison Officer will be responsible for making a recommendation to the Chair of R.A.C. on whether the request for the amendment should be granted. If a budget amendment exceeds 10% of the total project budget or \$20,000, the request is referred to the R.A.C. for decision. Applicants may make reasonable changes within budget categories providing that the Liaison Officer is kept fully informed of the alterations.

4.2 Transfer of Grants

No research grant can be transferred from one institution to another without written approval of the R.A.C.

4.3 Sabbatical Leave

In the event that any of the principal researchers specified in the accepted proposal takes a sabbatical leave, leave of absence, or will otherwise not be present or active in the project, agreement should be made in writing with the Liaison Officer on the investigator's substitution, adjournment, continuation, or termination of the project.

4.4 Change of Principal Investigator

If the principal investigator intends to withdraw from the position of acting director of the research project, the Ministry must be notified immediately. In this situation, two choices are available to the institution involved:

- a request may be submitted to terminate the project. (This action would also necessitate a terminal progress report, an expenditure summary and the return of any unspent funds); or
- the research may be continued under the direction of another principal investigator provided approval is received from the Ministry. (Biographical data, a progress report and any other relevant information about the project's achievements should be included.)

4.5 Termination of Grants

If for any reason a R.A.C. supported project is prematurely terminated (because of illness, death, resignation of the Principal Investigator, or for any other reason) the Principal Investigator (or sponsoring institution) shall immediately notify the Liaison Officer of the inability to carry out or complete the project for which funding was approved. Termination requires that the unspent portion of grant funds be repaid to the Ministry and that a report be submitted on the results determined to the point of termination.

4.6 Conflict of Interest

Applicants should avoid the following potential conflicts of interest:

- the authorization and purchase of equipment, supplies or services by the applicant from a source in which the applicant or the immediate family has a substantial interest; or
- the appointment of any member of the applicant's immediate family as an employee or consultant on a research project supported by the R.A.C.

4.7 Liability

No responsibility for injury, property damage or costs, claims, demands, suits, actions and judgements against Ontario arising out of studies or other activities undertaken with financial assistance from MOE is assumed by the provincial government, MOE or any employee of

MOE before, during or after the completion of the project, except if they are caused by the negligence of a Ministry employee while acting within the scope of employment.

The sponsoring agency should take steps to safeguard or insure itself, the equipment and any personnel against such incidents, loss or damage.

4.8 Notice of Change

The Ministry of the Environment may find it necessary to modify the terms and conditions of its funding process without prior notice.

4.9 Confidentiality

Throughout the duration of a project, no confidential information received by the investigator in connection with the funded project is to be disclosed without the consent of the R.A.C. Confidential information is defined here to exclude scientific research results.

4.10 Equipment and Inventory

For grants if specifically stipulated in the notification of award, the principal investigator keeps an inventory of all equipment purchased for a research project and sends an updated copy of the inventory to the Liaison Officer when requested.

This equipment inventory includes a description of each item covering:

- . model no.
- . serial no.
- . colour
- . value
- . manufacturer
- . supplier
- . date of return to the Ministry (if applicable)
- . Branch to which equipment will be returned (if applicable)

SECTION D RESEARCH ADMINISTRATION

1. PROJECT LIAISON OFFICER

Projects funded under the MOE Environmental Research Program are assigned to a Project Liaison Officer. A Liaison Officer is the Principal Investigator's prime contact with the Ministry of the Environment and acts on requests for consultation, guidance or assistance. The Liaison Officer makes available to the investigator Ministry files pertinent to the assignment and submits to the branch, region or the R.A.C. a brief, clear evaluation of the progress made in each research program that is being monitored. Any changes or modifications to the research project after approval has been granted must be approved in writing by the Liaison Officer.

2. GRANT ADMINISTRATION

2.1 Conditions of Funding

Funding of proposals from universities and non-profit organizations in Ontario does not require a separate agreement, and if approved, the application form and the Ministry letter of approval to the University will be the binding agreement.

2.2 Start Date

The start date of a grant research project is generally calculated as the month of notification. In certain cases, "project years" may be more or less than twelve months if requested by the Principal Investigator and approved by the R.A.C.

2.3 Financial Administration

2.3.1 Method of Payment

All research proposals, submitted to the Ministry, should be handled through the Research Administration Office of the applicant's institution. Once funding is approved by MOE, notification of the award and the grant cheque will be sent to this research office. A grant cheque is usually issued on a yearly basis.

In the case of a multi-year project, the second or third year cheque is sent only after the Liaison Officer has approved an interim report on

the project and has submitted a written letter of support for the continuation of the project.

2.3.2 Expenditure Statements

Grant recipients will be required to provide a statement of expenditures at the end of each MOE fiscal year (March 31) to the Liaison Officer. Statements are to be received no later than May 31.

A further statement of expenditure is required upon termination of a grant, and at any other time as may be requested by MOE.

To facilitate the two above requirements, the recipient should hold an itemized budget and expenditure account which includes a detailed list of purchases and salaries financed through the MOE funding. Supporting information should be adequate to defend the budget and the resulting expenditures in the event that the Research and Technology Branch questions discrepancies between the budget and the submitted expenditure statement.

2.3.3 Audit

Following provincial financial and operational audit procedure, principal investigators of research projects receiving funding from the MOE may be required at any time to produce evidence or certify in writing, that each person paid with project funds has actually worked the amount of time claimed and that all books, records, equipment and

facilities claimed through the fund are reasonable and expenses have been properly incurred for the purpose of the assignment.

Principal Investigators and Administrative Officers of receiving institutions will be notified of audit results and may appeal any suggested disallowances within 30 days of notification, by writing to the MOE. Failure to appeal within the timeframe will be considered an acceptance of the decision. If the audit requires a refund from the Principal Investigator, it must be made within 60 days of notification.

Financial records and books of accounts may be inspected by the Ministry during the project and up to five years after the project completion.

2.3.4 Return of Unused Funds

For a multi-year project, funds remaining unspent at the fiscal or project year end may be kept and spent during the following year.

If a project is completed and funds remain unspent, a final statement of expenditures should be sent to the Liaison Officer. Included with the statement should be a refund amounting to the total of unspent funds already advanced, and payable to the "Treasurer of Ontario".

2.4 Completion Date

The completion date of a project is generally 12 months after notification. A multi-year project will have a completion date generally 24 or 36 months after notification, depending on the individual project.



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Date Received _____

Proposal No. _____

Research Area _____

APPLICATION FOR FUNDING ASSISTANCE BY GRANT

The original and five copies of the completed application form are required for every proposal for funding. The detailed proposal, not exceeding 20 pages, should include a thorough review of the available literature to support the rationale and objectives. The proposal should provide clear objectives, description of the proposed method(s), cost breakdown and discussion of anticipated results. In addition, a list of relevant publications as well as curriculum vitae of each applicant and co-investigator should be attached to each copy of the application. The application form summary is the description of the proposal that will be submitted to the Research Advisory Committee for their review along with the reviewers' recommendations for funding. The deadline for receipt of applications is January 15, and if approved, funding is effective upon notification by the Ministry, usually in April or May.

In the event that a grant is awarded, the institution and the principal investigator agree to the following terms.

1. The grant recipient will provide the Research Advisory Committee with a written final report (galley-proof) plus ten copies on the work completed during the project year(s). This may include supporting operational documents and software copies. It is understood that release or publication of the final report is contingent on approval by the Ministry of the Environment. The final report shall bear the legend:

"Queen's Printer for Ontario, 19___. This publication may be reproduced for non-commercial purposes with appropriate attribution."

unless the Ministry directs otherwise in writing.

2. The grant recipient will provide a progress report every six months.

3. The grant recipient will allow an Ontario Provincial Government Auditor access to the financial and/or project records either during or after project completion, if requested.

4. The spending of funds is to be as indicated in the approved project proposal unless otherwise agreed in writing. Funds not so spent will be returned to the Ministry.

5. The Principal Investigator and Institution will indemnify and save harmless the Ministry from any and all costs, claims, demands, suits, actions and judgement made, brought or recovered against the Ministry arising from this project.

6. Temporary replacement of the principal investigator due to illness or sabbatical leave, or permanent replacement of the principal investigator, must be agreed upon in writing by the Ministry.

7. Principal investigators agree to present a paper(s) at the Ministry's annual Technology Transfer Conference; therefore, any costs associated with attendance at the Conference should be included in the proposal.

The following conditions apply to proposals submitted for funding by grant.

1. All operating costs must be included in the total project costs and will be detailed in annual statements of expenditures as of March 31.

2. (1) The principal investigator is required to provide advance notice in the form of three pre-publication copies to the Ministry of any publications, research reports, presentations or other papers arising during the course of the project and within one year of its completion.

(2) The principal investigator of a project funded by a grant will be the owner of any data collected during the course of the project. Any publications, research reports or other published papers shall acknowledge the Ontario Ministry of the Environment as a source of financial support, and unless otherwise agreed in writing, shall indicate that the results and conclusions are those of the authors and that no official endorsement by the Ministry is intended or should be inferred.

(3) The Ministry reserves the right to make use of data or publish in whole or in part any publications, research reports or other papers arising out of the project, and in any publication, shall, with the investigator's approval, acknowledge the contribution of the principal investigator.

(4) Where an application is being prepared or proposed to be prepared for a patent under the Patent Act of Canada or similar foreign legislation, neither party shall publish

information which may adversely affect the obtaining of a Patent in Canada or the United States of America without first consulting with the other.

3. (1) "Patent Rights" where used in this agreement include any patentable or secret formulae, patents, inventions, discoveries and improvements, whether patented or not, and any material subject to copyright and any industrial design or other industrial property, and the word "patent" includes patents, additions to, amendments to, copyrights and registrations of industrial designs or other industrial property subject to subsections 3(3) and 3(4).

(2) The Ministry does not generally claim Patent Rights resulting from research supported by grant.

(3) Patent Rights arising jointly between a person carrying out research to which this agreement applies and an employee of the Ministry shall be jointly owned by the Ministry and the institution to which the grant is made or other person designated by the institution, and title to all patents issued thereon shall be joint.

(4) The Ministry shall have a non-exclusive licence to use any Patent Rights referred to in subsection 3(2) or 3(3) of this agreement for its own purposes or municipal purposes in Ontario and where the Patent Rights are not being exploited commercially in Ontario and elsewhere for any purposes where there is no commercial exploitation.

4. Upon premature termination of this project as a result of illness, death or resignation of the principal investigator, or for any other reason, the unspent portion of the funds will be repaid to the Ministry.

5. There will be no stipend or salary paid to University principal investigator(s) from a grant.

6. Equipment and non-consumable supplies purchased under a grant for purposes of the research shall belong to the researcher's institution unless the notification of award requires that the equipment and supplies be transferred to the Ministry or otherwise disposed of.

NOTE: Funding of proposals by grant does not require a separate agreement, and, if approved, this Application for Funding Assistance form and the Ministry letter of approval to the University will be the binding agreement.



Date de réception _____

N° de la proposition _____

Domaine de recherche _____

DEMANDE D'AIDE FINANCIÈRE SOUS FORME DE SUBVENTION

Toute proposition visant à obtenir une aide financière doit être accompagnée de l'original et de cinq photocopies du formulaire de demande dûment rempli. La proposition détaillée ne doit pas dépasser 20 pages et doit comprendre une analyse approfondie des ouvrages existants pour étayer le bien-fondé et les objectifs du projet. Les objectifs, les méthodes que les chercheurs ont l'intention d'employer et la ventilation des coûts du projet doivent y être clairement décrits, et il doit y être question des résultats escomptés. En outre, une liste des publications pertinentes ainsi que le curriculum vitae de chaque candidat et cochercheur doivent être joints à chaque exemplaire du formulaire de demande. Le résumé de ce formulaire constitue la description de la proposition qu'examinera le Comité consultatif de la recherche en même temps que les recommandations des examinateurs en matière de financement. La date limite de réception des dossiers de demande est fixée au 15 janvier et, en cas d'approbation, le financement prend effet à compter de la notification par le Ministère, qui se fait habituellement en avril ou en mai.

Si une subvention est octroyée, l'établissement et le chercheur principal s'engagent à respecter les conditions suivantes.

1. Le bénéficiaire de la subvention fournira au Comité consultatif de la recherche un rapport final écrit (épreuves) et dix exemplaires sur les travaux réalisés pendant l'année ou les années qu'a duré le projet. Il peut s'agir, notamment, de documents pratiques à l'appui et de copies de logiciels. Il est entendu que la diffusion ou la publication du rapport final est subordonnée à l'approbation du ministère de l'Environnement. Le rapport final doit comporter la légende suivante :

«Imprimeur de la Reine pour l'Ontario, 19___. Cette publication peut être reproduite à des fins non commerciales sous réserve des attributions appropriées.»

à moins que le Ministère n'ordonne autre chose par écrit.

2. Le bénéficiaire de la subvention fournira un rapport semestriel sur l'état de la recherche.

3. Le bénéficiaire de la subvention autorisera, le cas échéant, un vérificateur du gouvernement de l'Ontario à examiner les états financiers et (ou) les dossiers du projet soit en cours d'exécution, soit une fois le projet mené à bien.

4. Les fonds alloués doivent être utilisés comme le prévoit la proposition approuvée, sauf accord contraire écrit. Les paiements seront effectués sur présentation des factures seulement. Les fonds qui ne sont pas employés de cette manière doivent être rendus au Ministère.

5. Le chercheur principal et l'établissement indemniseront et tiendront à couvert le Ministère contre tous dépens, réclamations, revendications, poursuites, procès et jugements entraînés, présentés ou obtenus contre le Ministère par suite du présent projet.

6. Le remplacement temporaire du chercheur principal pour cause de maladie ou de congé sabbatique, ou son remplacement permanent, sont assujettis à l'approbation écrite du Ministère.

7. Les chercheurs principaux s'engagent à présenter un ou plusieurs exposés à l'occasion du Congrès annuel du Ministère sur le transfert des techniques. Par conséquent, tous les frais liés à la participation à ce congrès doivent figurer dans la proposition.

Les conditions suivantes s'appliquent aux propositions que l'on présente en vue d'obtenir une subvention.

1. Tous les frais d'exploitation doivent figurer dans les coûts totaux du projet et être détaillés dans les états des dépenses annuels arrêtés au 31 mars.

2. (1) Le chercheur principal est tenu de fournir un préavis au Ministère en lui remettant trois exemplaires préliminaires des publications, rapports de recherche, exposés ou autres articles rédigés au cours du projet et dans l'année qui suit son parachèvement.

(2) Le chercheur principal d'un projet financé par une subvention est le propriétaire de toute donnée recueillie pendant la réalisation du projet. Toute publication, tout rapport de recherche ou tout autre article publié doit mentionner la contribution financière du ministère de l'Environnement de l'Ontario et, sauf accord contraire écrit, tous ces ouvrages doivent préciser que les résultats et les conclusions n'engagent que les auteurs et qu'aucune sanction officielle du Ministère n'est sous-entendue d'une manière ou d'une autre.

(3) Le Ministère se réserve le droit d'utiliser des données ou de publier en tout ou en partie toute publication, tout rapport de recherche ou tout autre article découlant du projet et, dans toute publication, il mentionnera la contribution du chercheur principal, sous réserve de son accord.

(4) Si une demande de brevet aux termes de la Loi sur les brevets du Canada ou d'une loi étrangère semblable est en cours de préparation ou est prévue, aucune des parties ne publiera sans d'abord consulter l'autre de l'information qui risquerait de compromettre l'obtention d'un brevet au Canada ou aux États-Unis d'Amérique.

3. (1) Dans le présent accord, l'expression «droits de brevet» s'applique à tout brevet d'invention et à toute formule, invention, découverte et amélioration brevetable ou secrète, qu'elle soit brevetée ou non, ainsi qu'à tout document assujéti à un droit d'auteur et à tout dessin industriel ou à toute propriété industrielle, et le terme «brevet» désigne les brevets, ajouts, modifications, droits d'auteur et dépôts de dessins industriels ou enregistrements de toute autre propriété industrielle dont il est question dans les alinéas 3(3) et 3(4).

(2) De façon générale, le Ministère ne réclame aucun droit de brevet à l'égard d'une recherche financée par une subvention.

(3) Les droits de brevet établis conjointement entre une personne qui effectue la recherche visée par le présent accord et un employé du Ministère appartiennent conjointement au Ministère et à l'établissement qui bénéficie de la subvention ou à toute autre personne désignée par ledit établissement, et le titre de tous les brevets délivrés à ce sujet appartient ainsi aux parties intéressées.

(4) Le Ministère a le droit non exclusif d'utiliser à ses propres fins ou à des fins municipales en Ontario tous les droits de brevet mentionnés aux alinéas 3(2) ou 3(3) du présent accord et, si les droits de brevet ne sont pas exploités commercialement en Ontario et ailleurs, à n'importe quelle fin où il n'existe pas d'exploitation commerciale.

4. En cas d'interruption prématurée du projet pour cause de maladie, de décès ou de démission du chercheur principal, ou pour toute autre raison, la part inutilisée des fonds doit être remise au Ministère.

5. Les chercheurs principaux attachés à une université ne percevront aucun traitement ou salaire à même la subvention.

6. Le matériel et les biens non consommables achetés à même une subvention de recherche appartiennent à l'établissement d'origine du chercheur, sauf si l'avis d'octroi stipule que le matériel et les biens doivent être transférés au Ministère ou liquidés d'une autre manière.

REMARQUE : Le financement de propositions sous forme de subvention ne nécessite pas d'accord distinct et, en cas d'approbation, le formulaire de demande d'aide financière et la lettre d'approbation adressée par le Ministère à l'université ont force d'accord.



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Proposal No. Proposition n°

Project No. Projet n°

Principal Investigator Chercheur principal

Affiliation Affiliation

Research Proposal Summary Résumé de la proposition de recherche

Research Area Domaine de recherche

Type of Funding applied for:
Type de financement demandé :

☐ Grant
Subvention

☐ Contract
Contrat

☐ Unsolicited
Proposition non sollicitée

☐ Solicited
Proposition sollicitée

Title of Proposed Research
Titre de la recherche

Short Title Titre abrégé

% of Principal Investigator's Time (Allocated to the Project)
Pourcentage de son temps qu'alloue le chercheur au projet _____ %

Principal Investigator's Title Titre du chercheur principal

Address Adresse

City/Town Ville

Province Province

Postal Code Code postal

Tel. No. N° de téléphone

Co-Investigator(s) Autre(s) chercheur(s)

Affiliation Affiliation

1.

Affiliation Affiliation

2.

BUDGET
BUDGET

1st Year
1^{re} année

2nd Year
2^e année

3rd Year
3^e année

TOTAL
TOTAL

Salaries and Benefits
Salaires et avantages sociaux

Travel
Déplacements

Supplies and Equipment
Matériel et équipement

Overhead/Indirect Expenses (contractors only)
Frais généraux et indirects (entreprise)

Services (e.g. Computer Time)
Services (p. ex. temps d'ordinateur)

Other (specify)
Autres (préciser)

TOTAL
TOTAL

Total No. of Mandays
Nombre total de jours de main-d'œuvre

Current or Previous Research Funding Financement de la recherche

Has this proposal or similar to it been submitted elsewhere for funding? Cette proposition, ou une semblable, a-t-elle fait l'objet d'une demande de financement auprès d'un autre organisme/ministère ?

☐ Yes Oui If yes, where?

☐ No Non Dans l'affirmative, auprès de qui?

Has it been accepted?

☐ Yes

☐ No

If yes, total approved funds _____ No. of Years _____

A-t-elle été acceptée?

Oui

Non

Dans l'affirmative, montant du financement total approuvé Nombre d'années

University Université

Dean, Head or Chairman Doyen, directeur ou président

Name Nom

Tel. No. N° de téléphone

Signature

Date

Financial Administrator Administrateur financier

Name Nom

Tel. No. N° de téléphone

Signature

Date

Director of Research Administration Directeur administratif de la recherche

Name Nom

Tel. No. N° de téléphone

Signature

Date

Principal Investigator Chercheur principal

Name Nom

Tel. No. N° de téléphone

Signature

Date

Contractor Entreprise

President or Principal Président ou directeur général

Name Nom

Tel. No. N° de téléphone

Signature

Date

Financial Administrator Administrateur financier

Name Nom

Tel. No. N° de téléphone

Signature

Date

Principal Investigator Chercheur principal

Name Nom

Tel. No. N° de téléphone

Signature

Date



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|------------------------|----------------|----------------------|-----------|
| Proposal No. | Proposition n° | Project No. | Projet n° |
| Principal Investigator | | Chercheur principal | |
| Affiliation | | Affiliation | |

| | | |
|--|----------------------------|--|
| 1. Abstract (For Full Study) Résumé (de l'étude) | | |
| | | |
| 2. Objective(s) Objectif(s) | | |
| | | |
| 3. Milestone Definition and Schedule (For Full Study) Définition et calendrier des étapes (de l'étude) | | |
| Milestone No. Étape n° | Description Description | Anticipated Date of Completion Date prévue de la fin de l'étape |
| | | |



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Proposal No Proposition n°

Project No. Projet n°

Principal Investigator Chercheur principal

Affiliation Affiliation

4. Study Description Description de l'étude

Year 1 of Study 1^{re} année de l'étude

Description Description

Anticipated Results Résultats prévus

Year 2 of Study 2^e année de l'étude

Description Description

Anticipated Results Résultats prévus

Year 3 of Study 3^e année de l'étude

Description Description

Anticipated Results Résultats prévus



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Proposal No. Proposition n°

Project No. Projet n°

Principal Investigator Chercheur principal

Affiliation Affiliation

5. Relevance and Potential for Application Pertinence du projet et possibilités d'applications

What will this project contribute to the Ministry of the Environment's research needs?
Comment le projet répondra-t-il aux besoins en recherche du ministère de l'Environnement?

Describe potential for implementation of results, potential users and time frame for application of results by users.
Décrivez les applications possibles des résultats du projet, indiquez les usagers éventuels et fournissez le calendrier de ces applications.

Potential Marketability – Please describe if applicable
Possibilités de commercialisation – Donnez-en une description le cas échéant.

**ENVIRONMENTAL RESEARCH GRANTS
AND CONTRACTS**

GENERAL APPLICATION GUIDELINES

NOVEMBER 1989

SECTION A GENERAL INFORMATION

1. FOREWORD

This document outlines the procedures for submitting proposals for funding support in six areas of environmental research. Information is provided about the application and review process for both grant awards and unsolicited contract awards. While most details are provided in the document, applicants are encouraged to seek information on problems or unusual cases by contacting the Ministry.

2. DATES TO REMEMBER

January 15*

Deadline for receipt of applications

April or May

Notification to applicant of decision

Due every six months

Project progress reports

Due at project completion

Final Project report

Presentation of a paper on all R.A.C. supported projects is required at the annual Technology Transfer Conference held in late November or early December each year.

All applications and inquiries should be directed to:

Research and Technology Branch
135 St. Clair Avenue West
Toronto, Ontario M4V 1P5
Tel (416) 323-4574

*It is possible that there will be a second deadline for proposal submissions in June should additional funds become available; however, it is advisable to contact the Branch to confirm this.

3. DEFINITION OF RESEARCH AND GENERAL ELIGIBILITY GUIDELINES

The Ministry of the Environment's Environmental Research Program, administered by the Research and Technology Branch, supports research initiated by individual investigators or solicited by Ministry branches and regions in areas of interest to the Ministry. Research, for the purpose of this program, is defined as an investigative study undertaken on a systematic

basis to increase the available store of scientific and technical knowledge, or to apply existing knowledge in new ways and to solve specific problems.

Routine monitoring programs, technical surveys and the implementation of abatement measures are, by definition, excluded from the research category.

Research proposals are funded through two mechanisms: (1) the annual publication of Ministry "Research Needs" to assist investigator-initiated proposals in six broadly defined areas of environmental research and (2) the "request for proposals" (RFP) mechanism which solicits proposals through a call for tenders in well-defined areas of particular interest to the Ministry. All proposals received in response to either mechanism are subject to technical review, followed by Research Advisory Committee review and recommendation.

4. THE RESEARCH ADVISORY COMMITTEE

4.1 Description

The Research Advisory Committee (R.A.C.) of the Ministry of the Environment (MOE) is responsible for ensuring that research activities are consistent with Ministry policies, goals and objectives. The Committee makes recommendations on the suitability of research proposals submitted by external institutions such as universities, consultants and other research institutions and agencies, and also coordinates research conducted within the Ministry through its Branches, Regions, Boards and Advisory Committees.

4.2 Functions

The "Research Management Process" Guideline (April, 1987, Policy 16-08) defines the terms of reference for the R.A.C. as the following:

- To formulate and obtain approval for Ministry research planning and management policy.
- To develop and implement procedures for the management and evaluation of research activities.
- To define research needs, establish priorities and develop a research strategy, recommending the types of research to be undertaken by the appropriate Branches, Regions, Boards and Advisory Committees.
- To annually recommend levels of resources which the Ministry should devote to research activities.

- To make recommendations on the suitability of research proposals submitted by external institutions and agencies, and by Ministry Branches, Regions, Boards and Advisory Committees.
- To develop procedures for the early dissemination of research findings and to foster their implementation.
- To ensure that research activities are consistent with Ministry policies, goals and objectives.

4.3 Organization and Administration

The R.A.C. comprises the Director of the Research and Technology Branch for the Ministry, who acts as the chair, plus the Executive Director of Approvals and Engineering, 10 branch and regional directors, 2 coordinators for major Ministry programs, a senior representative from the Federal Government (Environment Canada) and the chair of the Ontario Pesticides Advisory Committee. Technical Review is co-ordinated by six research coordinators representing the six major areas of research funded. Projects are managed by Project Liaison Officers who act as primary contact persons with the principal investigators. These Liaison Officers are also responsible for ensuring that the various reporting, budgetary and other requirements of the grant or contract award are met by the investigator.

4.4 Areas of Support

Consideration is given primarily to applied and developmental research directed to environmental protection and health-related research. The research program is divided into six broad areas:

- Water Quality
- Air Quality
- Liquid and Solid Waste
- Analytical Method Development
- Environmental Socio-Economics
- Multimedia Contaminants and Biotechnology Research

A five-year projection of the research needs of the Ministry is contained in a volume entitled "Research Needs 1990-1995". It is updated each year to provide a focus on the problems or issues of immediate concern and can be obtained from the Research and Technology Branch, 135 St. Clair Ave. W., 9th Floor, Toronto, Ontario, M4V 1P5, Telephone (416) 323-4574.

Support is not provided for major equipment acquisitions, educational programs or the provision of services which should be otherwise financed.

4.5 Review Process

All proposals are reviewed on the basis of scientific merit, relevance to current Ministry research priorities and policy requirements, and available funding. Proposals that are not included in the identified research needs but are innovative may also be considered. Applications which are deemed eligible for support are referred to the appropriate research coordinator of the Ministry, and are subjected to extensive technical review by knowledgeable internal staff and by appropriate external reviewers generally from other government agencies. A meeting with the applicant or a site visit may be conducted when recommended by the reviewers.

When reviewing an application, the R.A.C. considers in detail the following:

- scientific and technical merit of the proposal and its research strategy
- competence and previous performance of the investigator and the quality of the facilities
- likelihood of the investigator achieving the objectives on time
- cost relative to the anticipated benefits
- compatibility of the project with MOE research needs and priorities
- potential for the implementation of the study results and any potential users

Prior to the R.A.C. meeting, committee members review the application form summaries and research coordinators' recommendations. At the meeting, the proposals are discussed and debated on the basis of technical evaluations of their scientific merit and relevance to Ministry priorities. Decisions are reached by consensus. Applications reviewed favourably by the R.A.C. are recommended to senior management for final budgetary approval. In certain cases, final approval may be conditional on budgetary adjustments or on specific changes to the research protocol. Funding will not be recommended until all conditions and changes have been made or agreed to in writing. Written reviewers' comments will not normally be provided to applicants.

SECTION B APPLICATION PROCEDURES

1. GENERAL

1.1 The Application

The application consists of the following components in the order listed:

- covering or transmittal letter
- Application for Funding Assistance form
- project proposal (maximum 20 pages)
- résumés (maximum 3 pages each) recent publications (if applicable)
- appendices (maximum 30 pages in total)

One original and five copies of the complete application are required for each proposed project, whether it is new or a renewal. Applications that are incomplete, ineligible or are considered difficult to read as a result of poor quality photocopying, photo-reducing, dot-matrix printing etc. may be returned without review. Pages in excess of the limits stated above may not be considered in the review process.

It should be noted that, to meet the needs of the various reviewers and of the R.A.C., it is imperative that applicants provide concise, informative answers in all sections of the application form, and submit the required number of complete applications. The time interval between closing dates for receipt of applications and meetings of R.A.C. does not permit consideration of late or incomplete applications.

1.2 Application for Funding Assistance Form

The intention of the application form is to summarize the full proposal and requested funding. A detailed description of the components follows:

1.2.1 Principal Investigator and Affiliation

The person in charge of directing and carrying out the research project is the principal investigator. It is this person who ensures that, once approved, the research is (a) carried out as specified in the research proposal and (b) on schedule. It is also the principal investigator with whom the Research and Technology Branch and Liaison Officer correspond on any matters concerning the research project. The affiliation of the principal investigator is the name of the institution or company that employs him/her.

1.2.2 Type of Funding Applied For

Funding may be in either grant or contract form (See Sections B2 and B3 for explanations of both) and either solicited or unsolicited (See Section B3). NOTE: Preference may be given to proposals with total budgets not exceeding \$80,000, and shared funding will generally be required for proposed budgets over \$80,000.

1.2.3 Title of Proposed Research

The title should briefly reflect the proposed research.

1.2.4 Short Title

The short title should include key words specific to the research project and is used for administration purposes.

1.2.5 Principal Investigator's Title and Address

This section should include an accurate and appropriate title and address for future correspondence and mailings.

1.2.6 Percentage of Principal Investigator's Time Allocated to the Project

This is the proportion of the individual Principal Investigator's total time that is spent on the project per year.

1.2.7 Co-Investigators' Names and Affiliations

The names and affiliations of those persons associated with the project are necessary.

1.2.8 Budget

A detailed budget encompassing a complete account of projected purchases and staff needs anticipated for a Ministry funded project must be submitted with the application form. The budget breakdown and supporting information should be comprehensive enough to defend the budget with regards to the total project description.

The budget should be broken down on a year by year basis and should allow for inflation. With regards to salaries, an individual's time should be identified in work-years.

The R.A.C. may recommend the modification of the budget submitted in one or more of the following ways:

- a) disallowing certain unjustified expenditures;

- b) modifying the distribution of funds;
- c) limiting funds for certain categories; or
- d) increasing funding so as to allow for additional work.

If the recipient wishes to be allowed to change funds from one budget category to another after an award has been made, the request must be made in writing to the Liaison Officer with a copy of the proposed revised budget included. Approval may be granted by the Research and Technology Branch, if recommended by the Liaison Officer.

1.2.9 Budget by Year

- **Salaries and Benefits**

Salaries requested from MOE funding should include all fees and disbursements to any persons who will be appointed by the recipient to assist in carrying out the project. The recipient should not change principal professional staff, consultants, subcontractors or salary rates without the written consent of the Ministry. The Ministry is not liable for any costs in excess of the funding amount agreed upon. If the principal investigator(s) and other research staff associated with the project normally receive a salary on a continuing basis from a university or college, they are not to receive salary payments, stipends, supplements or fees for services from a grant. Also, grant salary payments to university post-doctoral fellows, graduate students, technicians or other assistants are not to exceed existing NSERC rates.

Individuals paid from MOE funds are not to be regarded as MOE employees. Employer contributions to superannuation, group insurance and other employee benefits normally available to the institution's or company's employees may be paid by the institution/company on behalf of persons paid through MOE funding. The costs may then be charged to the appropriate research project.

- **Travel**

Any major travel expenses should be included in the budget, including travel to the Technology Transfer Conference to present project findings.

- **Supplies and Equipment**

Equipment and non-consumable supplies purchased under a grant for purposes of the research shall belong to the researcher's institution unless the notification of award requires that the equipment and supplies be disposed of differently, transferred to the Crown or otherwise disposed of. Equipment purchased under a contract must be returned to the Crown unless otherwise stated in the contract agreement.

- **Services**

Services such as computer time should be documented as an anticipated expense. Typing, photocopying and other office support activities are generally the responsibility of the funding recipient.

- **Overhead**

This covers indirect expenses and may be claimed for contracts only. Overhead expenses will not be considered on grant applications.

- **Other**

Any expenses not included in the other categories should be included in this part of the budget breakdown, and the nature of the expenses specified.

1.2.10 Current or Previous Research Funding

Applicants must indicate whether funds for all or part of a submitted project proposal or a similar project have been, or are going to be solicited for funding elsewhere. The following information should be included:

- the names of other agencies;
- the amount sought from each agency; and
- the amount received to date from each agency.

Should any funds be approved by another agency during the submission or after approval of a project, recipients must inform the Ministry Liaison Officer in writing.

Joint funding of a project by the Ministry with other agencies is possible and is encouraged. It is in the interest of an applicant to determine if other agencies will cooperate in joint funding and notify the Ministry if such arrangements appear possible.

The Ministry may take action to arrange partnership funding of a proposal if such a step is considered expedient.

1.2.11 Approval Signatures

The approval signatures of various university or contract research company officials are necessary to the completion of the application form. In the case of a university, the signatures of the Dean, Head or Chairman; Financial Administrator, Director of Research Administration as well as the Principal Investigator are generally required on all copies of the form. In the case of a contractor, the signature of the President, Financial Administrator and Principal Investigator must be included on each form submitted. Application forms will be returned to the applicant if the approval signatures are not completed.

By signing, the applicant and the institution/company representative signify both their assent to comply with the regulations and requirements of the Ministry and their intent to provide adequate space, time and facilities to permit the intended research to be carried out.

1.2.12 Abstract

A brief description of the project should be included.

1.2.13 Objectives

Objectives should include the goals and rationale behind the project.

1.2.14 Milestone Definition and Schedule

This section should include a concise, point-form schedule of every predicted major step in the proposed research. If the project is approved, this summary will be used to measure the progress of the research.

1.2.15 Yearly Description of Study

A brief general description of the work to be completed and the results anticipated for each year should be included in this section.

1.2.16 Relevance and Potential for Application:

- **What Will the Project Contribute to the Ministry of the Environment's Research Needs?**

The Ministry generally chooses research projects based on the scientific research priorities and needs outlined in the annual

"Research Needs" document. Other innovative proposals for work not included in the identified research needs will also be considered. This section should include either an indication of how the proposed research will contribute to the Ministry of the Environment's specified research needs or an indication of why the research need is justified in the case of a proposal which does not address a specified need.

- **Description of the Potential for Implementation of Results - Potential Users and the Time-frame for Application of Results by Users**

The Ministry strongly encourages the implementation of research findings. The potential for result implementation of the proposed research should be included, along with any potential users that may apply the results, and the time-frame involved to allow for application by these users.

- **Potential Marketability**

If applicable, any possible commercial benefits or export potential that might result from the research should be identified.

1.3 The Proposal

The detailed project proposal should include the following components to support the application form summary:

- 1.3.1 **title** which briefly reflects the proposed research
- 1.3.2 **objectives** and the underlying hypotheses and rationale
- 1.3.3 **thorough literature review** to support the rationale and objectives
- 1.3.4 **research description** including its significance and relevance to environmental and health-related research
- 1.3.5 **research design** including a concise statement of the work program, a timechart for major activities, methodologies, analysis of results, and criteria for evaluating outcome

Details must be provided on the modelling/data manipulation aspects of the project, eg: the use of available models, programming language rationalization and compatibility.

1.3.6 detailed budget showing annual cash flow normally based on the government fiscal year from April 1 to March 31. The budget should also justify any major or unusual travel, split out salary for programming and computer time, and indicate equipment or supplies expenditures (Inadequate explanations of items in the budget may result in arbitrary decisions on the level of funding).

1.3.7 benefits anticipated on a cost-effectiveness basis if relevant and/or based on contributions to solutions of environmental protection problems in Ontario.

1.4 Résumés, Publications, Appendices

A résumé should be included for the principal investigator and any co-investigators or specialists employed on the project. Maximum length of the résumé should be three pages. Excess pages may not be considered in the review process.

Publications relevant to the proposed study should also be included.

Appendices totalling no more than 30 pages may be added to the application and should be distinct from the proposal itself. These may include supporting documents such as letters of support or commitments from cooperating investigators.

1.5 Schedule

1.5.1 Closing Dates

The closing date for the receipt of applications is January 15. This date applies to both new applications and applications for renewals beyond the originally approved duration.

1.5.2 Review Schedule

Once received, applications are normally technically reviewed within six weeks of the closing date. Summaries of evaluations are due eight weeks after the closing date allowing approximately three weeks for review by R.A.C. members. Committee meetings are generally scheduled three months after the closing date.

1.5.3 Notification

Notification of grant awards to university investigators stating the particulars of the

grant will be sent by the Minister to the designated official (generally the Dean or Director of Research) with a copy to the applicant. Notification of contract awards will be sent to the applicant as indicated on the application form.

Unsuccessful applicants will be notified at the earliest possible time after their proposal has been rejected. In some cases a proposal may be approved subject to conditions, or revised proposals or additional information may be requested. Occasionally, a proposal is deferred until the next R.A.C. meeting due to either unresolved concerns or the need for clarification or further review.

1.6 Confidentiality

Although it may not be possible to guarantee absolute confidentiality for the information provided in the application, every effort will be made to accommodate specific requests for confidential treatment if received at the time of submission.

2. GRANT APPLICATIONS

2.1 Eligibility

Generally speaking, applications for research grant awards may be received from the following sources:

- universities and colleges
- research foundations and institutes
- municipalities
- environmental interest groups
- other government agencies (transfer payments)

A project involving more than one of the above is acceptable providing that one institution or group assumes leadership, responsibility and accountability.

Proposals received from these sources are submitted as "unsolicited" (investigator-initiated) proposals. Proposals originating from Ministry branches or regions are classified as "solicited" proposals and, if approved-in-principle for funding, are awarded through a competitive tendering process and are generally funded by contract. The R.A.C. will consider out-of-province proposals which have significance for Ontario and are judged by the reviewers to be of high technical merit and relevance to Ministry research needs.

2.2 Definition of Environmental Research Grant

A research grant is a one time payment of funding to an eligible institution to perform investigations on the data and techniques necessary for the attainment and maintenance of an eminent standard of environmental quality in Ontario.

2.3 Overhead

Grant funds may not be used for overhead costs.

2.4 Use of Grant Funds

The use of funds for environmental research by the Ministry of the Environment is intended to encourage investigations on the data and techniques necessary for the attainment and maintenance of an eminent standard of environmental quality in Ontario and to maintain in the Province a high level of competence in pollution abatement science and technology.

Research grants are intended primarily to cover operating expenses such as: the employment of assistants, supplies, computing services, field trips, and equipment. It is assumed that the basic facilities required to carry out the proposed work are already available to the applicant.

3. CONTRACT PROPOSALS

3.1 Eligibility

Generally speaking, applications for research contract awards may be either unsolicited or solicited and may be received from the following sources:

- Canadian companies and foreign-owned subsidiaries operating in Ontario
- Research institutions and organizations
- Crown corporations with an arm's length relationship with government

3.2 Definition of Contract

A research contract is an agreement to supply research services and overhead under defined negotiated conditions in exchange for a pre-determined cost. For Ministry purposes, the contract incorporates a letter of agreement signed by both parties, a purchase order and any pertinent attached schedules.

3.3 Unsolicited Proposals

Unsolicited investigator-initiated proposals originate from a private organization and are submitted directly to the Research and Technology Branch. If a proposal comes from a university, it must come through the office of the University or College Research Grants Officer or appropriate research grants administrator.

3.4 Solicited Proposals

Solicited proposals originate from targeted specific environmental needs or problem issues. Ministry staff identify the objectives, scope, and terms of reference of the required research work in the form of a "Request For Proposals" (RFP). This RFP is mailed by the Purchasing Section of the Ministry to a sufficient number of candidate consultants to ensure the receipt of at least three adequate responses. The procedure used for tendering such solicited grants is that described in the current Ontario Management Board of Cabinet Directives and Guidelines.

SECTION C REGULATIONS AND REQUIREMENTS

1. PERIOD OF SUPPORT

Normally the **maximum** duration of any research project is three years although preference may be given to one year proposals. Only one application is necessary for a research project up to three years in duration. A project period may be extended by up to six months without additional funding if:

- a) Requested in writing by the principal investigator and supported in writing by the Project Liaison Officer;
- b) Requested before the end of the project year; and
- c) Reasons for the extension required are documented.

Note:

For projects carried out by contract, extension will necessitate an amendment to the purchase order which should be prepared by the Liaison Officer prior to the closing date.

Extensions may not be granted if the above procedure is not followed.

2. PUBLICATIONS AND REPORTS

2.1 Interim Use of Data

The principal investigator is required to provide advance notice in the form of pre-publication copies to the Crown of any publications, research reports, presentations or other papers arising during the course of the project and within one year of its completion.

The principal investigator of a project funded by a grant will be the owner of any data collected during the course of this project. Any publications, research reports or other published papers shall acknowledge the Ontario Ministry of the Environment as a source of financial support, and unless otherwise agreed in writing, shall indicate that the results and conclusions are those of the authors and that no official endorsement by the Ministry is intended or should be inferred. All data resulting from projects funded by contracts will be owned by the Crown.

The principal investigator is required to prepare a final report (a detailed summary of the results and conclusions of the research, together with supporting data, under MOE cover) at the completion of this project.

The Crown reserves the right to make use of data or publish in whole or in part any publications, research reports or other papers arising out of this project, and in any publication, shall, with the investigator's approval, acknowledge the contribution of the principal investigator.

Where an application is being prepared or proposed to be prepared for a patent under the Patent Act of Canada or similar foreign legislation, neither party shall publish information which may adversely affect the obtaining of a Patent in Canada or the United States of America without first consulting with the other.

2.2 Interim Reports

A brief progress report is required every six months for all contracts or grants throughout the duration of the project. This interim report should include references to any publications ensuing from the research project. The interim report is reviewed by the appointed Liaison Officer to determine satisfactory progress and is then forwarded to the Research and Technology Branch.

In certain cases, a presentation at the Transfer Technology Conference will suffice in lieu of the interim report.

The interim report is particularly important if the investigator expects further funding in the case of a multi-year project. Additional funds normally will not be provided until the report is received.

2.3 Final Report

Generally five copies plus a galley-proof copy of a final report must be submitted within three months of the termination of funding of each MOE sponsored research project. The final report should comprise a detailed summary of the results and conclusions found in the research project, together with supporting data. In all cases, a 250-300 word abstract is also required together with references to publications resulting from the MOE funded project.

The report may consist in part of reprints of publications and copies of presentations given at the Technology Transfer Conference. In occasional cases, a final report may be substituted by either a single comprehensive publication or several component publications in the peer-reviewed scientific literature or a book chapter. If such is the case, approval would follow the normal review procedure once the manuscript had reached a final draft stage but before submission to the editor, if possible.

The cover of the report will specify the R.A.C. project number and institution or agency, and may show the Project Liaison Officer's name.

Once the Liaison Officer evaluates the final report and is technically satisfied with it he/she will forward it for approval. When changes to the report are necessary, the Liaison Officer will advise the author and coordinate the revision.

Following the Liaison Officer evaluation process, and R.A.C. approval, reports are then distributed within the Ministry and are released to the public after approval by Senior Management. In some cases where the quality of the report or the results are judged to be of limited or preliminary value, the R.A.C. may recommend limited or internal distribution.

Materials, documents, data and working papers relating to a contract funded project remain the property of the Ministry and should be given to the Ministry upon request or disposed of as instructed by the Ministry once the project is completed or terminated.

2.4 Technology Transfer Conference Presentation

The funding recipient must be prepared to make a presentation each project year at the Ministry's Annual Technology Transfer Conference in the form of either a verbal presentation of a paper or a poster presentation.

2.5 Acknowledgement and Disclaimer

All reports and other documents and materials prepared by or for the contractor arising out of the project and the final report prepared by the grantee should bear the legend:

©19____ - Her Majesty the Queen in Right of Ontario as Represented by the Minister of the Environment

unless the Liaison Officer otherwise directs in writing.

The Ministry of the Environment does not generally provide funds for publication in peer-reviewed scientific literature but does encourage funding recipients to publish project results in appropriate journals both before and after the project completion. The Ministry encourages the distribution of information and strongly supports technology transfer and diffusion. Before publication, the principal investigator is required to provide five pre-publication copies to the Liaison Officer of any publications, research reports, presentations or other papers arising during or within one year of the project completion. In the case of a contract, the approval of the Ministry must be obtained through the Liaison Officer before publication is allowed.

If outside publication is undertaken of any publications, research reports or other published papers, acknowledgement of MOE funding must be given and a disclaimer must be inserted. The format of the acknowledgement and disclaimer should follow the example below.

"Acknowledgement and Disclaimer"

"This report was prepared for the Ontario Ministry of the Environment as part of a Ministry funded project. The views and ideas expressed in this report are those of the author and do not necessarily reflect the views and policies of the Ministry of the Environment, nor does mention of trade names or commercial products constitute endorsement or recommendation for use".

If the results or part of the results from the project are to be incorporated in a thesis, the Ministry will normally give consent to publication subject to any condition that was necessary to protect patent rights and subject to the Ministry determining whether its financial or other involvement in the research should be acknowledged or not, and if so how.

The Ministry reserves the right to make use of data or publish in whole or in part any publications, research reports or other papers arising out of the project, while including an acknowledgement of the contribution of the principal investigator if the investigator so wishes.

3. OWNERSHIP RIGHTS

3.1 Ownership of Equipment

Equipment is defined to include items a) of a tangible, moveable nature; b) either in use or held for later use or disposal; c) with an estimated life of one year or more; and d) with a unit cost equal to or greater than \$500. Any items which are judged to be particularly "attractive" for private use or resale equal to or greater than \$100 are also classified as equipment.

For contracts, and for grants if specifically stipulated in the notification of award, the principal investigator keeps an inventory of all equipment purchased for a research project and sends an updated copy of the inventory to the Liaison Officer when requested. This equipment inventory includes a description of each item covering:

- model no.
- serial no.
- colour
- value
- manufacturer
- supplier
- date of return to the Ministry
- Branch to which equipment will be returned

3.2 Copyright

If a paper is published on MOE sponsored research, the author is required to acknowledge MOE financial assistance.

Data bases or data sets ensuing in whole or in part from MOE sponsored research grants similarly belong to the principal investigator and/or the recipient institution or company

(depending on the established regulations in effect at the recipient institution or company)

The Ministry nonetheless supports the sharing of data with others interested in facilitating and improving research on environmental issues.

In the case of contracts, MOE holds the copyright for all reports, documents and other materials arising from the contract. A disclaimer is appended to the resulting report claiming support but not necessarily endorsement of the results.

3.3 Patent Rights

"Patent Rights" include any patentable or secret formulae, patents, inventions, discoveries and improvements, whether patented or not, and any industrial design of other industrial property and the word "patent" includes patents, additions to, amendments to, copyrights, and registrations of industrial designs or other industrial property.

For contracts, all Patent Rights from experiments or research or operations, and all patents and applications for patents, shall belong to the Crown unless otherwise indicated in the Agreement.

For grants, the Crown does not claim Patent Rights resulting from the research.

4. GENERAL REGULATIONS

4.1 Amendments

The investigator is expected to advise the Ministry through the Project Liaison Officer of any anticipated major alteration in the research. While funds are intended to be used as described in an approved funding arrangement, the R.A.C. recognizes that some measure of flexibility is essential. Requests for amendments to the budget should be made in writing to the Liaison Officer with a copy to the Research and Technology Branch. The Liaison Officer will be responsible for making a recommendation to the Chairman of R.A.C. on whether the request for the amendment should be granted. If a budget amendment exceeds 10% of the total project budget or \$20,000, the request is referred to the R.A.C. for decision. Applicants may make reasonable changes within budget categories providing that the Liaison Officer is kept fully informed of the alterations.

4.2 Transfer of Grants

No research grant can be transferred from one institution to another without written approval of the R.A.C.

4.3 Sabbatical Leave

In the event that any of the principal researchers specified in the accepted proposal takes a sabbatical leave, leave of absence, or will otherwise not be present or active in the project, agreement should be made in writing with the Liaison Officer and the Research and Technology Branch on the investigator's substitution, adjournment, continuation, or termination of the project.

4.4 Change of Principal Investigator

If the principal investigator intends to withdraw from his/her role as acting director of the research project, the Ministry must be notified immediately. In this situation, two choices are available to the institution or company involved:

- a) A request may be submitted to terminate the project. This action would also necessitate a terminal progress report, an expenditure summary and the return of any unspent funds in the case of a grant; or
- b) The research may be continued under the direction of another principal investigator provided approval is received from the Ministry. Biographical data, a progress report and any other relevant information about the project's achievements should be included.

4.5 Termination of Grants and Contracts

If for any reason a R.A.C. supported project is prematurely terminated (because of illness, death, resignation of the Principal Investigator, or for any other reason) the Principal Investigator (or sponsoring institution or contractor) shall immediately notify the Research and Technology Branch of the inability to carry out or complete the project for which funding was approved. Termination requires that the unspent portion of grant funds be repaid to the Crown and that a report be submitted on the results determined to the point of termination. In the case of a contract:

- a) If it is found that the contractor is not carrying out the project as approved or has

been involved in serious professional misconduct, then support for a project may be revoked in whole or in part by the Ministry without notice or payment in lieu of notice or according to the terms and conditions specified in the Contract or Letter of Agreement.

- b) The Ministry may also terminate work at any other time via written notice with the sole obligation being to pay the contractor for work done to the date of cancellation and for any future non-reimbursable monies already legally promised by the contractor.
- c) The contractor may terminate work on the project for any reason with a one month advance written notice to the Liaison Officer. In such an event, the Ministry will determine what, if any, portion of the payments made prior to the date of termination, the contractor may retain.

4.6 Conflict of Interest

Unless after full consultation, the R.A.C. and the applicant agree otherwise, applicants should avoid the following potential conflicts of interest:

- a) the authorization and purchase of equipment, supplies or services by the applicant from a source in which the applicant or his/her immediate family has a substantial interest; or
- b) the appointment of any member of the applicant's immediate family as an employee or consultant on a research project supported by R.A.C..

4.7 Liability

No responsibility for injury, property damage or costs, claims, demands, suits, actions and judgements against Ontario arising out of studies or other activities undertaken with financial assistance from MOE is assumed by the provincial government, MOE or any employee of MOE before, during or after the completion of the project, except if they are caused by the negligence of a Ministry employee while acting within the scope of his/her employment. The sponsoring agency should take steps to safeguard or insure itself, the equipment and any personnel against such incidents, loss or damage. All contractors must conform to Provincial Environmental Health and Safety Standards.

4.8 Notice of Change

The Ministry of the Environment may find it necessary to modify the terms and conditions of its funding process without prior notice.

4.9 Confidentiality

Throughout the duration of a contract project, no proprietary information received or developed by the investigator in connection with the funded project is to be disclosed without the consent of R.A.C.

SECTION D RESEARCH ADMINISTRATION

1. PROJECT LIAISON OFFICER

Projects funded under the MOE Environmental Research Program are assigned to one or more Project Liaison Officers. A Liaison Officer is the Principal Investigator's prime contact with the Ministry of the Environment and acts on requests for consultation, guidance or assistance. The Liaison Officer makes available to the investigator Ministry files pertinent to the assignment and submits to the branch, region or R.A.C. a brief, clear evaluation of the progress made in each research program that is being monitored. Any changes or modifications to the research project after approval has been granted must be approved in writing by the Liaison Officer.

2. GRANT ADMINISTRATION

2.1 Conditions of Funding

Funding of proposals from universities and non-profit organizations in Ontario does not require a separate agreement, and, if approved, the application form and the Ministry letter of approval to the University will be the binding agreement.

2.2 Start Date

The start date of a grant research project is generally calculated as the month of notification which is usually October or May depending on the submission date. In certain cases, project "years" may be more or less than twelve months if requested by the Investigator and approved by the R.A.C.

2.3 Financial Administration

2.3.1 Method of Payment

All research proposals, submitted to the Ministry, should be handled through the Research Administration Office of the applicant's institution. Once funding is approved by MOE, notification of the award and the grant cheque will be sent to this research office. A grant cheque is usually issued on a yearly basis. In the case of a multi-year project, the second or third year cheque is sent only after the Liaison Officer has approved an interim report on the project and has submitted a written letter of support for the continuation of the project. The following sections go into more detail on the financial aspects of a grant.

2.3.2 Expenditure Statements

Grant recipients will be required to provide a statement of expenditures at the end of each MOE fiscal year (March 31) to the Liaison Officer with a copy to the Research and Technology Branch. Statements are to be received no later than May 31.

A further statement of expenditure is required upon termination of a grant, and at any other time as may be requested by MOE.

To facilitate the two above requirements, the recipient should hold an itemized budget and expenditure account which includes a detailed list of purchases and salaries financed through the MOE funding. Supporting information should be adequate to defend the budget and the resulting expenditures in the event that the Research and Technology Branch questions discrepancies between the budget and the submitted expenditure statement.

2.3.3 Audit

Following provincial financial and operational audit procedure, principal investigators of research projects receiving funding from the MOE may be required at any time to produce evidence or certify in writing, that each person paid with project funds has actually worked the amount of time claimed and that all books, records, equipment and facilities claimed

through the fund are reasonable and have been properly incurred for the purpose of the assignment.

Principal investigators and administrative officers of receiving institutions and companies will be notified of audit results and may appeal any suggested disallowances within 30 days of notification, by writing to the MOE. Failure to appeal within the time-frame will be considered an acceptance of the decision. If the audit requires a refund from the investigator, it must be made within 60 days.

Financial records and books of accounts may be inspected by the Ministry during the project and up to five years after the project completion.

2.3.4 Return of Unused Funds

Funds remaining unspent at the fiscal or project year end may be kept and spent during the following year if the funding agreement has prior MOE approval for extension.

If a project is completed and funds remain unspent, a final submission of the statement of expenditures should be carried out. Included with the statement should be a refund amounting to the total of unspent funds already advanced, and payable to the "Treasurer of Ontario."

2.4 Completion Date

The completion date of a project is generally 12 months after notification. A multi-year project will have a completion date generally 24 or 36 months after notification, depending on the individual project.

3. CONTRACT ADMINISTRATION

3.1 Legal Contract

The Liaison Officer is responsible for drawing up a legal letter of agreement for a contract with any necessary attachments included. Once signed, the contract must be followed by the contractor. Any deviation from the contract must be approved in writing by the Liaison Officer.

3.2 Start Date

The start date will be indicated in the letter of agreement and purchase order.

3.3 Financial Administration

- **Purchase Order**

Once a contract agreement is signed, the purchasing Section of the Ministry issues a purchase order. Work **may not** proceed until the investigator receives the purchase order number.

- **Invoices**

Invoices are required as proof of expenditure. Payment by the Ministry is only carried out after receipt of both invoices and supporting documentation, which are approved by the Liaison Officer prior to submission to the Research and Technology Branch for processing.

- **Holdback**

A holdback of up to 10% is in effect on all submitted invoices. Final payment will be made only after a final report and a final invoice are received.

Additional amounts may be held back so that at all times the sum of any holdbacks, the amount remaining uninvoiced and the amount of any additional holdback money is at least equal to the estimated cost for the satisfactory completion of the assignment.

3.4 Completion Date

The completion date of a project will be indicated on the Purchase Order. A contract extension of up to 6 months may be allowed provided no increase in funds is associated with the extension. Increase in funding for an extended contract can only occur with a contract amendment which generally requires approval by the R.A.C.

The reasons for any extension required to complete any phase of the project should be documented and forwarded to the Liaison Officer as soon as possible after it is known that an extension is needed and prior to the original termination date of either that phase of the project or the project itself. Unless an extension is agreed to in writing by the Liaison Officer the contractor may not extend the time for completion.

Application For Funding Assistance

| Ministry Use Only | |
|-------------------|-------|
| Date Received | _____ |
| Proposal No. | _____ |
| Research Area | _____ |

The original and five copies of the completed application form are required for each unsolicited or solicited proposal for funding by **grant or contract**. The detailed proposal, not exceeding 20 pages, should include a thorough review of the available literature to support the rationale and objectives. The proposal should provide clear objectives, description of the proposed method(s), cost breakdown and discussion of anticipated results. In addition, a list of relevant publications as well as curriculum vitae of each applicant and co-investigator should be attached to each copy of the application. The application form summary is the description of the proposal that will be submitted to the Research Advisory Committee for their review along with the reviewers' recommendations for funding. The deadline for receipt of applications is January 15, and if approved, funding is effective upon notification by the Ministry, usually in April or May. It is possible that there will be a second deadline for proposal submission in June should additional funds become available; however, it is advisable to contact the Branch to confirm this.

In the event that a **grant or contract** is awarded, the principal investigator and his/her institution or company agree to the following:

1. Provide the Research Advisory Committee with a written final report (galley-proof) plus five copies on the work completed during the project year(s) and copies of all reports or publications resulting from this project. This may include supporting operational documents and software copies. It is understood that release or publication of the final report is contingent on approval by the Ministry of the Environment. The final report shall bear the legend:

©19 ____ Her Majesty the Queen in right of Ontario as represented by the Minister of the Environment

unless the Crown directs otherwise in writing.
2. Provide a progress report every six months.
3. Allow an Ontario Provincial Government Auditor access to the financial and or project records either during or after project completion, if requested.
4. The spending of funds is to be as indicated in the approved project proposal unless otherwise agreed in writing. Funds not so spent will be returned to the Crown.
5. The principal investigator and Institution will indemnify and save harmless the Crown from any and all costs, claims, demands, suits, actions and judgements made, brought or

recovered against the Crown arising from this project, except to the extent that they are caused by the negligence of a servant or agent of the Crown while acting within the scope of his/her employment.

6. Temporary replacement of the principal investigator due to illness or sabbatical leave, or permanent replacement of the principal investigator, must be agreed upon in writing by the Crown.
7. Principal investigators agree to present a paper(s) at the Ministry's Technology Transfer Conference. Therefore, any costs associated with attendance at the Conference should be included in the proposal.

The following conditions apply to proposals submitted for funding by **grant**:

1. All operating costs must be included in the total project costs and will be detailed in annual statements of expenditures as of March 31.
2. (1) The principal investigator is required to provide advance notice in the form of pre-publication copies to the Crown of any publications, research reports, presentations or other papers arising during the course of the project and within one year of its completion.
- (2) The principal investigator of a project funded by a grant will be the owner of any data collected during the course of the project. Any publications, research reports or other published papers shall acknowledge the Ontario Ministry of the Environment as a source of financial support, and unless otherwise agreed in writing, shall indicate that the results and conclusions are those of the authors and that no official endorsement by the Ministry is intended or should be inferred.
- (3) The Crown reserves the right to make use of data or publish in whole or in part any publications, research reports or other papers arising out of the project, and in any publication, shall, with the investigator's approval, acknowledge the contribution of the principal investigator.
- (4) Where an application is being prepared or proposed to be prepared for a patent under the Patent Act of Canada or similar foreign legislation, neither party shall publish information which may adversely affect the obtaining of a Patent in Canada or the United States of America without first consulting with the other.

3. (1) "Patent Rights" where used in this agreement include any patentable or secret formulae, patents, inventions, discoveries and improvements, whether patented or not, and any material subject to copyright and any industrial design or other industrial property, and the word "patent" includes patents, additions to, amendments to, copyrights and registrations of industrial designs or other industrial property subject to subsections 3(3) and 3(4).
- (2) The Crown does not generally claim Patent Rights resulting from research supported by grant.
- (3) Patent Rights arising jointly between a person carrying out research to which this agreement applies and an employee of the Crown shall be jointly owned by the Crown and the institution to which the grant is made or other person designated by the institution, and title to all patents issued thereon shall be joint.
- (4) The Crown shall have a non-exclusive licence to use any Patent Rights referred to in subsection 3(2) or 3(3) of this agreement for its own purposes or municipal purposes in Ontario and, where the Patent Rights are not being exploited commercially in Ontario and elsewhere for any purposes where there is no commercial exploitation.
4. Upon premature termination of this project as a result of illness, death or resignation of the principal investigator, or for any other reason, the unspent portion of the funds will be repaid to the Crown.
5. There will be no stipend or salary paid to University principal investigator(s) from a grant.
6. Equipment and non-consumable supplies purchased under a grant for purposes of the research shall belong to the researcher's institution unless the notification of award requires that the equipment and supplies be transferred to the Crown or otherwise disposed of.

Note:

Funding of successful proposals from private consultants and semi-private organizations requires entering into an agreement which will include details of the work plan, schedule and time requirements, between the applicant and Her Majesty the Queen in Right of Ontario (the "Crown"). Funding of proposals from universities and non-profit organizations in Ontario does not require a separate agreement, and, if approved, this Application for Funding Assistance form and the Ministry letter of approval to the University will be the binding agreement.



Ontario

Ministry
of the
EnvironmentMinistère
de
l'Environnement

Principal Investigator Chercheur principal

Ministry Use Only Réservé au ministère

Proposal No. Proposition n°

Project No. Projet n°

Affiliation Affiliation

Research Proposal Summary Résumé de la proposition de recherche

Research Area Domaine de recherche

Type of Funding applied for:

Type de financement demandé :

☐ Grant

Subvention

☐ Contract

Contrat

☐ Unsolicited

Proposition non sollicitée

☐ Solicited

Proposition sollicitée

Title of Proposed Research

Titre de la recherche

Short Title Titre abrégé

% of Principal Investigator's Time (Allocated to the Project)

Pourcentage de son temps qu'alloue le chercheur au projet _____ %

Principal Investigator's Title Titre du chercheur principal

Address Adresse

City/Town Ville

Province Province

Postal Code Code postal

Tel. No. N° de téléphone

Co-Investigator(s) Autre(s) chercheur(s)

Affiliation Affiliation

1.

Affiliation Affiliation

2.

BUDGET
BUDGET1st Year
1^{re} année2nd Year
2^e année3rd Year
3^e annéeTOTAL
TOTALSalaries and Benefits
Salaires et avantages sociauxTravel
DéplacementsSupplies and Equipment
Matériel et équipementOverhead/Indirect Expenses (contractors only)
Frais généraux et indirects (entreprise)Services (e.g. Computer Time)
Services (p. ex. temps d'ordinateur)Other (specify)
Autres (préciser)TOTAL
TOTALTotal No. of Mandays
Nombre total de jours de main-d'oeuvre

Current or Previous Research Funding Financement de la recherche

Has this proposal or similar to it been submitted elsewhere for funding? Cette proposition, ou une semblable, a-t-elle fait l'objet d'une demande de financement auprès d'un autre organisme/ministère ?

☐ Yes Oui If yes, where?☐ No Non Dans l'affirmative, auprès de qui?Has it been accepted? ☐ Yes ☐ No

A-t-elle été acceptée? Oui Non

If yes, total approved funds _____ No. of Years _____

Dans l'affirmative, montant du financement total approuvé Nombre d'années

University Université

Dean, Head or Chairman Doyen, directeur ou président

Name Nom

Tel. No. N° de téléphone

Signature

Date

Financial Administrator Administrateur financier

Name Nom

Tel. No. N° de téléphone

Signature

Date

Director of Research Administration Directeur administratif de la recherche

Name Nom

Tel. No. N° de téléphone

Signature

Date

Principal Investigator Chercheur principal

Name Nom

Tel. No. N° de téléphone

Signature

Date

Contractor Entreprise

President or Principal Président ou directeur général

Name Nom

Tel. No. N° de téléphone

Signature

Date

Financial Administrator Administrateur financier

Name Nom

Tel. No. N° de téléphone

Signature

Date

Principal Investigator Chercheur principal

Name Nom

Tel. No. N° de téléphone

Signature

Date



Ontario

Ministry
of the
Environment

Ministère
de
l'Environnement

Principal Investigator Chercheur principal

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|-------------------|----------------|----------------------|-----------|
| Proposal No. | Proposition n° | Project No. | Projet n° |
| Affiliation | | Affiliation | |

1. Abstract (For Full Study) Résumé (de l'étude)

2. Objective(s) Objectif(s)

3. Milestone Definition and Schedule (For Full Study) Définition et calendrier des étapes (de l'étude)

| Milestone No. Étape n° | Description Description | Anticipated Date of Completion Date prévue de la fin de l'étape |
|---------------------------|----------------------------|--|
| | | |



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Ministry Use Only Réserve au ministère

Proposal No. Proposition n°

Project No. Projet n°

Principal Investigator Chercheur principal

Affiliation Affiliation

4. Study Description Description de l'étude

Year 1 of Study 1^{re} année de l'étude

Description Description

Anticipated Results Résultats prévus

Year 2 of Study 2^e année de l'étude

Description Description

Anticipated Results Résultats prévus

Year 3 of Study 3^e année de l'étude

Description Description

Anticipated Results Résultats prévus



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|---|--|----------------------------|--|
| Proposal No. Proposition n° | | Project No. Projet n° | |
| Principal Investigator Chercheur principal | | Affiliation Affiliation | |

5. Relevance and Potential for Application Pertinence du projet et possibilités d'applications

What will this project contribute to the Ministry of the Environment's research needs?
Comment le projet répondra-t-il aux besoins en recherche du ministère de l'Environnement?

Describe potential for implementation of results, potential users and time frame for application of results by users.
Décrivez les applications possibles des résultats du projet, indiquez les usagers éventuels et fournissez le calendrier de ces applications.

Potential Marketability – Please describe if applicable
Possibilités de commercialisation – Donnez-en une description le cas échéant.



Ministry
of the
Environment

Ministère
de
l'Environnement

AGREEMENT

135 St. Clair Avenue West
Suite 100
Toronto, Ontario
M4V 1P5

135. avenue St. Clair ouest
Bureau 100
Toronto (Ontario)
M4V 1P5

THIS AGREEMENT made this _____ day of _____, 199__

BETWEEN: HER MAJESTY THE QUEEN IN THE RIGHT OF
ONTARIO AS REPRESENTED BY THE MINISTER OF
THE ENVIRONMENT
(hereinafter called the "Crown")

PARTY OF THE FIRST PART

- and -

(hereinafter called the "Contractor")

PARTY OF THE SECOND PART

Designated Crown Representative _____ or such other
person as may from time to time be
designated by the Crown in writing
Telephone: _____

Project Title: _____

In consideration of the provisions hereinafter set out, the parties
agree as follows:

1.0 This Agreement is subject to confirmation by the Crown issuing
a Purchase Order.

2.0 ASSIGNMENT

The nature and extent of the work to which this Agreement
pertains and the respective duties and obligations of the Contractor
and the Crown are defined and described in Schedule A ("_____
_____") and, subject to the
other provisions of this Agreement, will be carried out in accordance
with the Contractor's proposal.

(Nov. 1989)

3.0 APPOINTMENT

The Crown hereby appoints the Contractor to perform the Assignment described in Schedule A and the Contractor hereby accepts such appointment and undertakes to perform the Assignment in accordance with the Contractor's Proposal in a good, workmanlike and professional manner and subject to the terms and conditions contained herein.

4.0 COSTS

The Crown hereby accepts the Contractor's estimated total costs for the Assignment not to exceed \$_____ to be paid as outlined in Schedule A. The said amount includes all fees and disbursements of any persons appointed or assigned by the Contractor to assist in the execution of this Assignment. Unless otherwise agreed in writing and a purchase order confirming the new amount is issued by the Crown, the Crown is not liable for any costs in excess of this amount. The Contractor, and not the Crown, is liable for all fees and disbursements.

5.0 PAYMENTS

5.1 The Crown will pay the Contractor upon receipt of invoices from the Contractor in accordance with Schedule A. Subject to Subsection 5.2, the Crown will hold back an amount not exceeding ten per cent (10%) of each invoice from the Contractor until the Assignment is satisfactorily completed and accepted by the Crown.

5.2 The Crown may hold back additional amounts so that at all times the sum of any holdbacks under Subsection 5.1, the amount remaining uninvoiced and the amount of any additional holdback money under this subsection, is at least equal to the estimated cost for satisfactorily completing the Assignment.

5.3 The Crown, or auditors appointed by the Crown, may examine and audit project-related books, records, equipment and facilities of the Contractor or anyone working directly or indirectly for the Contractor for the purpose of the Assignment to determine that all costs are reasonable and have been properly incurred for the purpose of the Assignment and that the Assignment is being or has been properly carried out.

5.4 The Contractor will submit supporting documentation as required by the Crown with each invoice.

5.5 In the event an overpayment is discovered by audit or otherwise, the amount of overpayment shall be credited to future payments hereunder or repaid to the Crown as determined by the Crown.

5.6 The Contractor shall maintain proper financial records and books of account respecting services provided pursuant to this Agreement. These financial records and books of account may be inspected by the Crown both during and following the performance of this Agreement for a maximum of five years after performance is completed.

6.0 DATES

The Assignment shall commence on or about the _____ day of _____, 199__, and shall be completed not later than the _____ day of _____, 199__. The reasons for any extension required by the Contractor to complete any phase of the Assignment shall be documented and forwarded to the Crown as soon as the Contractor is aware that it may be necessary to ask for permission for an extension and in any event prior to the original termination date of the phase of the Assignment or the Assignment and the terms and conditions of any such extensions shall be agreed upon in writing by the parties. Unless an extension is agreed to in writing by the Crown, the Contractor may not extend the time for completion.

7.0 PROGRESS AND FINAL REPORTS

7.1 The Contractor will provide:

- (a) oral progress or status reports from time to time at the request of the Crown representative at the cost of the Contractor.
- (b) written progress reports at intervals of not more than six months;
- (c) a final written report on completion of work;
- (d) make a presentation at the Crown's annual Technology Transfer Conference in the form of the oral presentation of a paper or in the form of a poster, at the Crown's election; and
- (e) such other reports as are provided in Schedule "A".

8.0 PERSONNEL

8.1 The Contractor is responsible for performing the tasks for the Assignment as described in Schedule A. The Crown representative, on a consultative basis, and the Crown files pertinent to the Assignment will be available to the Contractor.

8.2 The Contractor will perform the Assignment at his office location or any other facilities provided at the Contractor's expense but may periodically visit the Ministry office for pick-ups and deliveries or to consult with the Crown personnel.

8.3 The Contractor shall not change principal professional staff, consultants, sub-contractors or the rate chargeable as defined in Schedule A without the written consent of the Crown.

9.0 PREMATURE TERMINATION

9.1 If the Contractor is guilty of serious professional misconduct in the opinion of the Crown, or neglects, fails or refuses to carry out the Assignment in other respects, the Crown may terminate work under this Agreement without notice or payment in lieu of notice.

9.2 The Crown may terminate work under this Agreement by written notice at any time for reasons not specified in Subsection 9.1 and its only obligation will be to pay the Contractor for all work done to the date of cancellation and for any future expenses which were to be paid for under this Agreement and which the Contractor remains legally obliged to pay in connection with the Assignment and for which the Contractor is not otherwise reimbursed.

9.3 The Contractor may terminate work under this Agreement for any reason with a one month advance notice in writing to the Crown Representative. In such event, the Crown shall determine what, if any, portion of the payments made prior to the date of termination the Contractor may retain.

10.0 DOCUMENTS AND MATERIALS

10.1 Materials, documents, data and working papers relating to the Assignment shall be the property of the Crown and shall be surrendered to or disposed of as instructed by the Crown representative upon completion and acceptance of the Assignment or termination of work under this Agreement for any reason whatsoever.

10.2 The Contractor shall return to the Crown at the termination of work under this Agreement in good condition, reasonable wear and tear only excepted, all equipment and non-consumable supplies of the Crown loaned to the Contractor for the Assignment and all equipment and non-consumable supplies purchased by the Contractor for the Assignment at the Crown's expense.

11.0 SECURITY AND CONFIDENTIALITY

11.1 The Contractor will act as an independent contractor and not as a servant or agent of the Ministry of the Environment.

11.2 Subject to Subsection 3, no information received or developed by the Contractor in connection with this Agreement shall be disclosed by the Contractor or to anyone other than the Crown without the consent of the Crown.

11.3 Subject to any requirements to protect or perfect any patent rights, the Contractor may publish any material alone or jointly with the Crown after one year after completion of the Assignment provided that (unless the Crown Representative otherwise directs) the participation of the Crown in carrying out or financing the work is acknowledged.

11.4 "Patent rights" where used in the Agreement include any patentable or secret formulae, patents, inventions, discoveries and improvements, whether patented or not, and any material subject to copyright and any industrial design or other industrial property and the word "patent" includes patents, additions to, amendments to, extensions of, restorations of and reissues of patents, copyrights and registrations of industrial designs or other industrial property.

11.5 All patent rights resulting from experiments or research or operations connected with this Agreement and all patents and applications for patents in respect thereof shall belong to the Crown.

11.6 The Contractor shall have a royalty-free non-exclusive licence to use and exercise and have used and exercised any patent right mentioned in Section 11 for further research and development provided the results of such research and development are reported to the Crown in writing.

11.7 All reports and other documents and materials prepared by or for the Contractor for or arising out of this Assignment shall bear the legend:

© 199__ - Her Majesty the Queen in Right
of Ontario as Represented by the
Minister of the Environment

unless the Crown Representative otherwise directs in writing, as well as an acknowledgement to the Crown for providing the funding support and a disclaimer as indicated below.

Acknowledgement and Disclaimer

This report was prepared for the Ontario Ministry of the Environment as part of a Ministry funded project. The views and ideas expressed in this report are those of the author and do not necessarily reflect the views and policies of the Ministry of the Environment, nor does mention of trade names or commercial products constitute endorsement or recommendation for use. The Ministry, however, encourages the distribution of information and strongly supports technology transfer and diffusion. Any person who wishes to republish part or all of this report should apply for permission to do so to the Research and Technology Branch, Ontario Ministry of the Environment, 135 St. Clair Avenue West, Toronto, Ontario, M4V 1P5, Canada.

11.8 The Contractor and any persons working on the Assignment shall cooperate in any action needed to perfect or record any patent rights in the name of the Crown.

12.0 LIABILITY

The Crown and its representatives shall not be responsible for any injuries or property damage suffered or caused by the Contractor or any sub-contractors or any of their associates, officers or employees while performing the Assignment. The Contractor shall be responsible for insuring personnel and both Contractor and Crown-owned equipment for any loss or damage, and must conform to Provincial Environmental, Health and Safety Standards.

The Contractor shall indemnify the Crown for any damages to property or persons and any claims against the Crown, arising out of the carrying out of the Assignment.

In this section, "Crown" includes the Minister of the Environment and any officer and employees of the Ministry of the Environment and public servants employed with the Ministry of the Environment.

13.0 FINAL REPORT

Following the approval of the study "draft" final report by the Crown representative, the Contractor will print the Final Report, including any revisions, corrections, etc. as indicated by the Crown, and provide the Crown with copies in the form specified in Schedule "A".

14.0 ENTIRE AGREEMENT

This Agreement shall enure to the benefit of and be binding upon, the parties and their administrators, successors and assigns, and shall not be assigned by the Contractor without the written approval of the Crown.

14.1 Where any conflict or inconsistency appears between a provision of any of the documents listed below which form part of this Agreement and a provision in another of the documents, the provision in the first mentioned document shall govern:

- (a) Purchaser Order
- (b) This Document
- (c) Schedule A

14.2 This Agreement, including the documents listed in Subsection 14.1, constitute the entire Agreement between the parties.

14.3 The designation of the Crown Representative may be changed at any time by notice, in writing, to the Contractor.

15.0 WAIVER

The failure by the Crown to insist in one or more instances upon the performance by the Contractor of any of the terms or conditions of this Agreement shall not be construed as a waiver of the Crown's right to require further performance of any such terms or conditions, and the obligations of the Contractor with respect to such future performance shall continue in full force and effect.

16.0 SUPPORT SERVICES

Typing, photocopying and other office support activities are the responsibility of the Contractor.

17.0

17.1 In the event of a disagreement with respect to any provision of the Agreement, either party may ask the other to refer this disagreement to one or more mutually agreeable persons as a review panel.

17.2 Section 17.1 does not prevent either party from taking legal action in connection with this Agreement.

HER MAJESTY THE QUEEN
in the Right of Ontario
as Represented by the
Minister of the Environment

Per: _____
Director,
Research and Technology Branch

CONTRACTOR

Per: _____
(Title -)

Dated _____

